



DAC #

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants:	Salim et al.	) Art Unit: Not Yet Assigned Examiner: Not Yet Assigned
Serial No.:	09/765,964	
Filing Date:	January 19, 2001	
Title:	METHOD AND APPARATUS FOR IMPLEMENTING AN ACTIVE INFORMATION MODEL	
Att'y File No.:	19382-004	

**CERTIFICATE OF MAILING UNDER 37 C.F.R. 1.8**

I hereby certify that the following documents:

1. Transmittal Form;
2. Copy of Notice of Incomplete Nonprovisional Application;
3. Petition to Be Accorded Filing Date under 37 C.F.R. 1.53 (e);
4. Copy of Patent Application including:
  - (i) Ninety (90) pages of specifications, one (1) page of claims (1 claim), Abstract;
  - (ii) Forty (40) sheets of drawings (Figures 1-38);
  - (iii) Attachment A, Provisional patent application entitled "DATASOURCE HARMONIZER (27 sheets);
  - (iv) Attachment B, "harmeng: Logical View Report" (26 sheets);
  - (v) Attachment C, "References" (1 sheet);
5. Copy of the returned receipt postcard, containing a Filing Date of 01/19/01;
6. Declaration of Inventors;
7. Fee Transmittal;
8. Check No. 85997 in the amount of \$420.00 (filing fee and surcharge); and

Return Postcard are being deposited with the United States Postal Service as Regular Mail, in an envelope addressed to: Office of Petitions, Assistant Commissioner for Patents, Washington, D.C. 20231, on this 24<sup>th</sup> day of May, 2001.

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#6

PTO/SB/21 (08-00)

Please type a plus sign (+) inside this box → ☐

Approved for use through 10/31/2002. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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# TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Application Number 09/765,964

Filing Date 01/19/2001

First Named Inventor SALIM

Group Art Unit Not yet assigned

Examiner Name Not yet assigned

Total Number of Pages in This Submission 198

Attorney Docket Number 19382-004

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## ENCLOSURES (check all that apply)

☒ Fee Transmittal Form

☒ Fee Attached

☐ Amendment / Response

☐ After Final

☒ Affidavits/declaration(s)

☐ Extension of Time Request

☐ Express Abandonment Request

☐ Information Disclosure Statement

☐ Certified Copy of Priority Document(s)

☒ Response to Missing Parts/ Incomplete Application

☐ Response to Missing Parts under 37 CFR 1.52 or 1.53

☐ Assignment Papers (for an Application)

☒ Drawing(s)

☐ Licensing-related Papers

☒ Petition

☐ Petition to Convert to a Provisional Application

☐ Power of Attorney, Revocation Change of Correspondence Address

☐ Terminal Disclaimer

☐ Request for Refund

☐ CD, Number of CD(s) \_\_\_\_\_

☐ After Allowance Communication to Group

☐ Appeal Communication to Board of Appeals and Interferences

☐ Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)

☐ Proprietary Information

☐ Status Letter

☒ Other Enclosure(s) (please identify below):

Copy of complete non-provisional patent application (as filed).

Remarks

## SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name

THOMAS C. FOLSOM  
CHRISMAN, BYNUM & JOHNSON, P.C.

Signature

*Thomas C. Folsom*

Date

May 24, 2001

## CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on this date: May 24, 2001

Typed or printed name Stefan T. Bump

Signature

*Stefan T. Bump*

Date

May 24, 2001

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

# FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision.

Complete if Known

TOTAL AMOUNT OF PAYMENT (\$ 420

Application Number 09/765,964  
Filing Date 01/19/2001  
First Named Inventor SALIM  
Examiner Name Not yet assigned  
Group / Art Unit Not yet assigned  
Attorney Docket No. 19382-004

## METHOD OF PAYMENT (check one)

1. ☐ The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:

Deposit  
Account  
Number

03/1725

Deposit  
Account  
Name

CHRISMAN, BYNUM & JOHNSON, P.C.

- ☒ Charge Any Additional Fee Required  
Under 37 CFR 1.16 and 1.17  
☒ Applicant claims small entity status.  
See 37 CFR 1.27

2. ☒ Payment Enclosed:

- ☒ Check ☐ Credit card ☐ Money  
Order ☐ Other

## FEE CALCULATION

### 1. BASIC FILING FEE

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
101	710	201	355	Utility filing fee	355
106	320	206	160	Design filing fee	
107	490	207	245	Plant filing fee	
108	710	208	355	Reissue filing fee	
114	150	214	75	Provisional filing fee	

SUBTOTAL (1)

(\$ 355

### 2. EXTRA CLAIM FEES

Total Claims	1	-20	=	0	X	9	=	0
Independent Claims	1	-3	=	0	X	40	=	0
Multiple Dependent					X		=	0

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description
103	18	203	9	Claims in excess of 20
102	80	202	40	Independent claims in excess of 3
104	270	204	135	Multiple dependent claim, if not paid
109	80	209	40	** Reissue independent claims over original patent
110	18	210	9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2)

(\$ 0

\*\*or number previously paid, if greater; For Reissues, see above

## FEE CALCULATION (continued)

Large Entity Fee Code	Large Entity Fee (\$)	Small Entity Fee Code	Small Entity Fee (\$)	Fee Description	Fee Paid
105	130	205	65	Surcharge - late filing fee or oath	65
127	50	227	25	Surcharge - late provisional filing fee or cover sheet.	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	390	216	195	Extension for reply within second month	
117	890	217	445	Extension for reply within third month	
118	1,390	218	695	Extension for reply within fourth month	
128	1,890	228	945	Extension for reply within fifth month	
119	310	219	155	Notice of Appeal	
120	310	220	155	Filing a brief in support of an appeal	
121	270	221	135	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,240	241	620	Petition to revive - unintentional	
142	1,240	242	620	Utility issue fee (or reissue)	
143	440	243	220	Design issue fee	
144	600	244	300	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	130	123	130	Petitions related to provisional applications	
126	180	126	180	Submission of Information Disclosure Stmt	
581	40	581	40	Recording each patent assignment per property (times number of properties)	
146	710	246	355	Filing a submission after final rejection (37 CFR § 1.129(a))	
149	710	249	355	For each additional invention to be examined (37 CFR § 1.129(b))	
179	710	279	355	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	

Other fee (specify) \_\_\_\_\_

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3)

(\$ 65

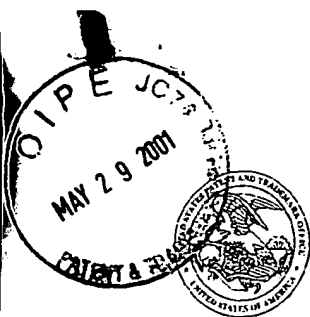
## SUBMITTED BY

Complete (if applicable)

Name (Print/Type) THOMAS C. FOLSOM Registration No. Attorney/Agent 35,514 Telephone 303-546-1300  
Signature *Tom Folsom* Date May 24, 2001

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/765,964	01/19/2001	Mohammad S. Salim	19382-004

CONFIRMATION NO. 9148

## FORMALITIES LETTER



\*CC000000005907574\*

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MAY 30 2001

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Date Mailed: 03/27/2001

Thomas C. Folsom  
Chrisman, Bynum & Johnson, P.C.  
1900 Fifteenth Street  
Boulder, CO 80302

## NOTICE OF INCOMPLETE NONPROVISIONAL APPLICATION

## FILED UNDER 37 CFR 1.53(b)

A filing date has NOT been accorded to the above-identified application papers for the reason(s) indicated below.

All of the items noted below and a newly executed oath or declaration covering the items must be submitted within **TWO MONTHS** of the date of this Notice, unless otherwise indicated, or proceedings on the application will be terminated (37 CFR 1.53(e)).

The filing date will be the date of receipt of all items required below, unless otherwise indicated. Any assertions that the item(s) required below were submitted, or are not necessary for a filing date, must be by way of petition directed to the attention of the Office of Petitions accompanied by the \$130.00 petition fee (37 CFR 1.17(i)). If the petition states that the application is entitled to a filing date, a request for a refund of the petition fee may be included in the petition.

- The application was deposited without drawings. 35 U.S.C. 113 (first sentence) requires a drawing "where necessary for the understanding of the subject matter sought to be patented." *Applicant should reconsider whether the drawings are necessary under 35 U.S.C. 113 (first sentence).*

The required items noted below SHOULD be filed along with any items required above. The filing date of this nonprovisional application will be the date of receipt of the items required above. The items noted below must be filed no later than TWO MONTHS FROM THE FILING DATE ACCORDED THIS APPLICATION.

- The statutory basic filing fee is missing.  
*Applicant must submit \$ 710 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).*
- The oath or declaration is missing.
- The balance due by applicant is \$ 710.

05/30/2001 GTEFFERA 00000080 09765964

01 FC:201  
02 FC:205355.00 OP  
65.00 OP

*A copy of this notice **MUST** be returned with the reply.*

*Sub Pmd*

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Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE



CHRISMAN BYNUM & JOHNSON

CHRISMAN, BYNUM & JOHNSON, P.C.  
ATTORNEYS AND COUNSELORS AT LAW  
1900 FIFTEENTH STREET  
BOULDER, COLORADO 80302

TELEPHONE 303.546.1300  
FACSIMILE 303.449.5426  
E-MAIL CBJ@CBJ.COM  
WWW.CBJ.COM

January 19, 2001

Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

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MAY 30 2001

OFFICE OF PETITIONS

Re: U.S. Patent Application  
METHOD AND APPARATUS FOR IMPLEMENTING  
AN ACTIVE INFORMATION MODEL  
Applicants: Salim *et al.*  
Atty. File No.: 19382-004



Dear Sir:

The enclosed Patent Application of the above-referenced inventors, Mohammad S. Salim *et al.*, is being filed by **EXPRESS MAIL POST OFFICE TO ADDRESSEE** (Label No. **EM590192530US**) with the specification, claims, abstract, and drawings which are sufficient to obtain a filing date under 37 C.F.R. 1.53 of the Patent Office Rules. The applicants will complete the application by submitting the required filing fee and declarations within the time allowed under 37 C.F.R. 1.53.

The correspondence address for purposes of Rule 1.53 is as follows:

Thomas C. Folsom, Reg. No. 35,514  
Attorney for Applicants  
Chrisman, Bynum & Johnson, P.C.  
1900 Fifteenth Street  
Boulder, CO 80302  
Telephone: (303) 546-1300

Sincerely,

Thomas C. Folsom

TCF\stb  
Enclosures



CHRISMAN, BYNUM & JOHNSON, P.C. IS A MEMBER OF MACINTYRE STRÄTER INTERNATIONAL LIMITED (MSI), A WORLDWIDE ASSOCIATION OF INDEPENDENT LAW AND ACCOUNTING FIRMS WITH TWO HUNDRED MEMBER FIRMS IN SEVENTY-EIGHT COUNTRIES.



Applicants: Salim et al.

Serial No.: Not Yet Assigned

Filing Date: January 19, 2001

Examiner: Not Yet Assigned

Title: METHOD AND APPARATUS FOR IMPLEMENTING AN  
ACTIVE INFORMATION MODEL

Our File No.: 19382.004

ITEMS ENCLOSED:

1. Certificate of Mailing Under 37 CFR 1.10;
2. Patent Application (including ninety (90) pages of specification, one (1) page of claims, and Abstract);
3. Forty (40) sheets of drawings (Figures 1-38);
4. Attachment A, Provisional patent application (2716 sheets);
5. Attachment B, "harmeng: Logical View Report" (26 sheets);
6. Attachment C, References, (1 sheet) and
7. Transmittal Letter to Assistant Commissioner of Patents.

Date Mailed: January 19, 2001

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Our File No.:

19382-004 / TCF



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants:	Salim et al.	} Art Unit: Not Yet Assigned } Examiner: } Not Yet Assigned
Serial No.:	Not Yet Assigned	
Filing Date:	Not Yet Assigned	
Title:	METHOD AND APPARATUS FOR IMPLEMENTING AN ACTIVE INFORMATION MODEL	
Att'y File No.:	19382-004	}

**CERTIFICATE OF EXPRESS MAILING UNDER 37 C.F.R. 1.10**

I hereby certify that the following documents:

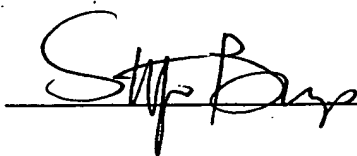
1. Patent Application (including ninety (90) pages of specifications, one (1) page of claims (Iclaim), and Abstract) entitled METHOD AND APPARATUS FOR IMPLEMENTING AN ACTIVE INFORMATION MODEL;
2. Forty (40) sheets of drawings (Figures 1-38);
3. Attachment A, Provisional patent application entitled "DATASOURCE HARMONIZER (27 sheets);
4. Attachment B, "harmeng: Logical View Report" (26 sheets);
5. Attachment C, "References" (1 sheet);
6. Transmittal Letter to Assistant Commissioner of Patents; and

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Return Postcard are being deposited with the United States Postal Service as EXPRESS MAIL POST OFFICE TO ADDRESSEE, postage prepaid, LABEL NO. EM590192530US, in an envelope addressed to: Assistant Commissioner for Patents, BOX PATENT APPLICATION, Washington, D.C. 20231, on this 19<sup>th</sup> day of January, 2001.

  
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